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PTO-SB-08A (10-96)  
Approved for use 10-31-99. OMB 0651-0031

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Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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Substitute for form 1449A-PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(USE AS MANY SHEETS AS NECESSARY)

Sheet 1 Of 2

**COMPLETE IF KNOWN**

Application Number	New
Filing Date	December 28, 2001
First Named Inventor	Thomas R. WERNER et al
Group Art Unit	TBD
Examiner Name	TBD
Attorney Docket Number	V637- 25543 US

#5  
10 Jun 02  
P.T. 10/028439  
10/028439  
12/28/01

**U.S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines where relevant passages or relevant figures appear
		Number	Kind Code <sup>2</sup> (if known)			
DN		6,069,905		Davis et al.	05-30-2000	

**FOREIGN PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines where relevant passages or relevant figures appear	T <sup>6</sup>
		Office <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (if known)				
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Signature

*[Handwritten Signature]*

Date  
Considered

10/16/02

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(1) Unique citation designation number. (2) See attached kinds of U.S. patent documents. (3) Enter office that issued the document, by the two-letter code (WIPO Standard ST.3). (4) For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. (5) Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. (6) Applicant is to place a check mark here if English language translation is attached.

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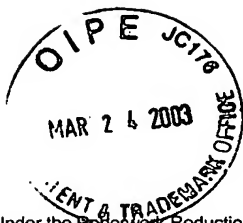
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<h2 style="margin: 0;">INFORMATION DISCLOSURE STATEMENT BY APPLICANT</h2> <p style="margin: 10px 0 0 0;"><i>(USE AS MANY SHEETS AS NECESSARY)</i></p>			
Sheet	2	Of	2

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<b>Substitute for form 1449A/PTO</b>  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)				<b>Complete if Known</b>	
				Application Number	10,028,439
				Filing Date	December 28, 2001
				First Named Inventor	Thomas R. Werner et al.
				Art Unit	N/A
				Examiner Name	Not Yet Assigned
Sheet	1	of	1	Attorney Docket Number	V637-25543 US

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			

FOREIGN PATENT DOCUMENTS						
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		Country Code <sup>3</sup> -Number <sup>4</sup> -Kind Code <sup>5</sup> (if known)				

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<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See attached Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the application number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

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Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
<i>dw</i>	AA	IEEE Photonics Technology Letters, VOL. 14. NO. 12, December 2002 "Single High-Order Transverse Mode Surface-Emitting Laser With Controlled Far-Field Pattern," S. Shinada and F. Koyama, Member IEEE, pp. 1641-1643	

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Sheet 1 Of 2

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First Named Inventor	Thomas R. WERNER et al.
Art Unit	2881
Examiner Name	TBD
Attorney Docket Number	V637- 25543 US

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Examiner Initials*	Cite No. <sup>1</sup>	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup> (if known)			
		US				
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		Country Code <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (if known)				
DW		EP	0 975 072	A2	01-26-2000	Canon Kabushiki Kaisha		
		WO	01/73903	A2	10-04-2001	Aegis Semiconductor		
DW		WO	01/80324	A2	10-25-2001	Digital Optics Corporation		

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